



PCT/AU2004/000393

REC'D 21 APR 2004

WIPO

PCT

Patent Office  
Canberra

I, JULIE BILLINGSLEY, TEAM LEADER EXAMINATION SUPPORT AND SALES hereby certify that annexed is a true copy of the Provisional specification in connection with Application No. 2003901513 for a patent by PROTEOME SYSTEMS INTELLECTUAL PROPERTY PTY LTD as filed on 28 March 2003.

**PRIORITY  
DOCUMENT**

SUBMITTED OR TRANSMITTED IN  
COMPLIANCE WITH RULE 17.1(a) OR (b)

WITNESS my hand this  
Ninth day of April 2004

A handwritten signature in cursive script that reads "Julie Billingsley".

JULIE BILLINGSLEY  
TEAM LEADER EXAMINATION  
SUPPORT AND SALES



BEST AVAILABLE COPY

# AUSTRALIA

## Patents Act 1990

**Proteome Systems Intellectual Property Pty Ltd**

### PROVISIONAL SPECIFICATION

*Invention Title:*

*Apparatus for dispensing and printing fluids*

The invention is described in the following statement:

### **Field of the Invention**

This invention relates to an apparatus for printing and dispensing fluids. In particular, the invention relates to the piezoelectric device for accurately dispensing small volumes of liquids into a container or onto a surface.

5

### **Background of the Invention**

In the fields of chemistry and biological sciences, piezoelectric devices are commonly used to accurately dispense small quantities of liquids into a container or onto a surface. Present applications include dispensing reagents onto protein arrays for  
10 protein analysis, chemical printing for peptide mass finger printing, and oligonucleotide array printing. Existing piezoelectric devices can control dispensing with an accuracy of +/- 100 picolitres. A typical piezoelectric device comprises a glass tube which defines a narrow through bore or capillary. The glass tube is surrounded by a ceramic collar which expands and contracts under the influence of a changing electric potential  
15 applied to the collar which causes a sonic wave in the bore. In use, a vacuum/pressure source is applied to one (non-dispensing) end of the bore. Using the well known "dip and suck" process, the dispensing end of the tube is dipped in a liquid to be dispensed. Vacuum is applied to suck reagent into the bore. The pressure /vacuum in the device is adjusted to retain the reagent in the tube and ensure that the meniscus at the dispensing  
20 end of the bore is flat. A changing electric potential is then applied to precisely dispense one or more drops of reagent from the dispensing end of the tube, as desired.

There are a number of problems with existing piezoelectric dispensing devices. One problem is the presence of particulate matter in the fluid being dispensed, which may block the bore of the piezoelectric device.

25 A further problem is that when dispensing some liquids, a slight pressure must be applied to the solution in order to produce a droplet at the orifice of the device.

Further, when dispensing liquids having a high viscosity or high visco-elasticity, the use of pressure and/or vacuum may be required.

An aim of the present invention is to address and alleviate any problems of the  
30 prior art discussed above.

Any discussion of documents, acts, materials, devices, articles or the like which has been included in the present specification is solely for the purpose of providing a context for the present invention. It is not to be taken as an admission that any or all of these matters form part of the prior art base or were common general knowledge in the  
35 field relevant to the present invention as it existed before the priority date of each claim of this application.

Throughout this specification the word "comprise", or variations such as "comprises" or "comprising", will be understood to imply the inclusion of a stated element, integer or step, or group of elements, integers or steps, but not the exclusion of any other element, integer or step, or group of elements, integers or steps.

5

#### Summary of the Invention

In a first broad aspect, the present invention provides a piezoelectric dispensing apparatus including:

- a removable reservoir for containing liquid for dispensing from the apparatus;
- 10 a piezoelectric dispensing tube defining a bore in fluid communication with the reservoir; and
- means for applying a vacuum and/or pressure to the contents of the reservoir when the reservoir is located in the apparatus.

One advantage of the present invention is that reagent can simply be loaded into  
15 the apparatus in the reservoir eliminating the existing and time consuming and occasionally messy "dip and sip" technique.

Typically the top of the reservoir will be open to allow liquids to be poured into the reservoir. Most preferably the top of the reservoir will be outwardly flared. The means for applying a vacuum and/or pressure to the contents of the reservoir when the  
20 reservoir is located in the apparatus will include a plunger which is shaped and configured to abut with and seal the top of the reservoir. The plunger preferably defines a through bore to permit the application vacuum and or pressure to the reagent vessel through the bore.

In a second broad aspect, the present invention provides a reagent vessel for use  
25 with a piezoelectric device which provides filtering within the vessel.

In particular, there is provided a reservoir assembly for containing liquid for dispensing from a piezoelectric dispensing apparatus characterised by the assembly including a primary and a secondary filter means.

The primary filter takes out most of the particles in solution. The secondary  
30 filter preferably has a pore size smaller than the primary filter and removes any particulate matter not removed by the primary filter and particulate material below the primary filter. Where the reservoir is removable from the vessel and also from the piezoelectric dispensing tube the secondary filter may be located between the reservoir and the non-dispensing end of the piezoelectric dispensing tube to prevent particulate  
35 matter collected on the underside of the reservoir from entering the tube.

In a further aspect of the present invention there is provided a piezoelectric dispensing apparatus including:

- a reservoir for containing liquid for dispensing from the apparatus defining an outlet;
- 5 a piezoelectric dispensing tube defining a bore;
- means for removable attaching the piezoelectric dispensing tube in fluid communication with the reservoir; characterised by
- a valve disposed at the base of the reservoir which closes the outlet of the reservoir until the reservoir is attached to a removable secondary filter attached to a
- 10 piezoelectric dispensing tube.

Preferably the base of the reservoir defines an annular foot portion on which the reservoir may be rested with the valve spaced from the surface on which the foot rests.

#### **Brief Description of the Drawings**

- 15 A specific embodiment of the invention will now be described by way of example only, and with reference to the accompanying drawings in which:

Figure 1a is a schematic front view of a dispensing apparatus embodying the present invention;

Figure 1b is a schematic side view of the dispensing apparatus of Figure 1;

- 20 Figures 2a-2d are views of a reagent vessel for use in the dispensing apparatus of Figure 1;

Figures 2e and 2f illustrate a secondary filter assembly;

Figures 3a and 3b illustrate an assembled reservoir and secondary filter assembly coupled to a piezoelectric dispensing device;

- 25 Figure 4 shows the apparatus of Figure 1 prior to loading;

Figure 5 shows the apparatus of Figure 4 in which a plunger on the apparatus has been lowered to load a reagent vessel into the apparatus;

Figure 6 illustrates the apparatus of Figure 5 is fully loaded with four reagent vessels;

- 30 Figure 7 illustrates release of the reaction vessel by the depression of a lever which provides a downward movement in the plunger;

Figure 8 illustrates the return of the plunger to the top of the apparatus to enable removal of a reaction vessel;

Figure 9 illustrates the mechanism controlling the plunger position; and

- 35 Figure 10 shows an alternative reagent vessel.

### Detailed Description of a Preferred Embodiment

Referring to the drawings, Figure 1 shows a schematic diagram of a piezoelectric dispensing apparatus 10 embodying the present invention. The apparatus defines an array of four plungers 12 below which are aligned a series of four seats  
5 configured to receive and support reagent vessels 20 located below the plungers. The apparatus also includes associated drive mechanisms for moving the plungers vertically up and down, towards and away from the seats. Each of the plungers defines a central through bore 14 (refer to Figure 9) which can be connected to a source of vacuum and/or pressure.

10 A reagent vessel 20 is shown in more detail in Figures 2a to 2d. The reagent vessel is made in four parts, a combined reservoir 20 and integral finger grip 21; a filter 22; a one way PVP valve of the type colloquially known as a "ducks bum valve" 24 and a foot portion 26. The reservoir 20 and foot portion 26 are made of a plastics material and the parts are ultrasonically welded together capturing the valve and filter  
15 there between. The reservoir 20 is generally cylindrical having a flared upper end 28.

The lower end 30 of the reservoir is closed by the valve 24. The valve comprises a rubber cup slit into two which is normally closed as shown in Figures 2a and 2d, but which when the sides of the valve are squeezed opens up for as long as that pressure is maintained. The finger grip 30 facilitates handling of the reagent vessel and  
20 loading of the vessel into the apparatus.

The foot portion 26 located below the reservoir, has an annular cross section, the base of which defines a circular base or foot 32. The foot portion also defines a internal flange 34 which supports the valve 24. The filter 22 is located above the valve 24 to capture particulates from solutions contained in the reservoir and prevent them  
25 from passing into a piezoelectric dispensing device, which in use, is located below the reservoir.

The foot portion 32 serves two functions. First it allows the reagent vessel to be placed on a laboratory bench and prevents the valve 24 from touching the bench surface and opening. Secondly, it acts a sealing surface between the reagent vessel and  
30 a secondary filter holder shown in Figures 2e and 2f.

Two regions 40 may be defined in the upper surface of the reservoir when the reagent vessel is removed from the apparatus 10, the rupture lines may be ruptured which would prevent the reagent vessel from being reused.

Also shown in Figures 2c and 2d are bayonet guides 42 which help in the  
35 location of the reagent vessel in the apparatus 10.

The secondary filter holder 50 is shown in Figures 2f and 2g and comprises two threaded metal parts 50a, 50b that are screwed together with a secondary filter 52 clamped between the two sections. The secondary filter captures any particulates located below the primary filter. An O ring 54 extends around the outside of the upper  
5 end of the secondary filter assembly. In use when the secondary filter holder is inserted into the foot portion 26 of the reagent vessel the O ring provides a fluid tight seal.

A generally cylindrical outwardly flared aperture 56 is defined in the top surface of the secondary filter assembly. This aperture 56 is sufficiently shallow, and the size and shape of the aperture are such that when the secondary filter assembly is attached  
10 to the reagent vessel 20, the base of the valve 24 in the reagent vessel will push against the hole and open.

The lower part of the secondary filter assembly defines a bore in fluid communication with the aperture the bore having a first diameter and a second relatively narrower diameter 58 which is threaded. A piezoelectric dispensing tube  
15 may be threaded into the narrow diameter bore 58. A standard piezoelectric dispensing tube 70 comprising a glass tube which defines a narrow through bore or capillary surrounded by a ceramic PZT material collar which expands and contracts under the influence of a changing electric potential applied to the collar is used. The tube 70 secondary filter holder 50 and reagent vessel 20 are assembled together as shown in  
20 figures 3a and 3b. Liquid for dispensing is put in the reservoir/reagent vessel. If the reagent vessel contains liquid at the time the three components are assembled, the secondary filter should be attached to the tube 70 before being attached to the reagent vessel otherwise the valve 24 will open and leak.

Figure 3 shows a piezoelectric device is screwed into the threaded bore of the  
25 secondary filter assembly which in turn, is attached to the reservoir 20.

With reference to Figure 4, the assembled reagent vessel, secondary filter assembly and piezoelectric device, are placed in the dispensing apparatus 10, with the finger grip oriented to the right. The reservoir is loaded with reagent to be dispensed prior to loading in the apparatus. The bayonet guides 42 locate in grooves in the  
30 apparatus and the finger grip is then rotated in a clockwise direction to the left and the bayonet guides rotate along grooves in the reception means which slope towards the base of the dispensing apparatus and as well as guiding the assembly, push the assembly down.

The plunger is then lowered and the head of the plunger locates in the flared  
35 portion of the reservoir. An O ring extending around the plunger head, provides a seal and locks the reagent vessel into the dispensing apparatus.

As illustrated, the apparatus has the capacity to receive four reagent vessels. Figure 6 shows the apparatus fully loaded with four reagent vessels locked in place with respective plungers and ready for use.

Each plunger defines a central through bore. The bore is linked to a means for  
5 applying a vacuum, or pressure through the bore to the reservoir 20 of the reagent vessel. The piezoelectric devices are primed by applying pressure to the liquid in the reagent vessel through the bore of the plunger which pushes the liquid through the primary filter 22 and through the secondary filter 52. Piezoelectric electric devices are operated for droplet dispensing under low vacuum conditions to control the fluid  
10 meniscus at the orifice of the piezoelectric device. A pneumatics control corrects imbalances in surface tension of the fluid, capillary action or hydrostatic pressure that prevents solution from being dispensed from the piezoelectric device. Droplets are dispensed from the piezoelectric device by applying an electric pulse or wave to the device which generate an acoustic wave in the solution in the glass capillary resulting  
15 in a droplet being dispensed from the device orifice. These techniques are well known in the field of glass capillary piezoelectric dispensing.

With reference to Figure 7, on completion of dispensing, the reagent vessel is released from the apparatus by means of a small downward motion of the plunger initiated by the pressing of a release button. The additional pressure on the flared  
20 portion causes the breaking of the rupture lines preventing re-use of the reagent vessel. The plunger then rises as shown in Figure 8 and returns to the top of the apparatus. The used reagent vessel can be removed and discarded. Once the reagent vessel is released from the apparatus, the valve at the bottom of the reagent vessel, will close preventing any unused solution from leaking out of the reagent vessel.

25 The operation of the plunger is illustrated in more detail in Figure 9. At rest, the plunger position is controlled by an indexing cam mechanism which comprises a star shape control element and a smaller index element. The index element is acted on a sprung detent which is shaped to give the cam a tendency to return to the indexed position. The cam and detent mechanism are mounted on a pivoting arm which is held  
30 in a default position by a spring.

The plunger is also held in its rest position by a spring. When the plunger is depressed, a drive pin attached to it travels downwards and engaging a lobe of the cam causes it to turn. As the plunger is further depressed, the cam turns sufficiently to allow the detent to engage the next index position. At this point, the cam ceases to be  
35 driven by the plunger, rather it is the force applied by the detent mechanism that causes it to continue turning. This rotation means that the next lobe of the cam to bear on the



drive pin and depress the plunger further. This action is sufficient to complete the loading of the reaction vessel and is arranged so that with the vessel in place, some force is still exerted by the detent on the cam. This ensure that the cam is able to apply sufficient pressure to the plunger to maintain a seal with the reagent vessel. This  
5 condition is maintained until the release mechanism is actuated. The release lever acts on the pivoting arm depressing it causing the cam and arm assembly to slide aside releasing the drive pin and allowing the plunger to return to its rest position. The pivoting of the arm is arranged so that on route to release the plunger, is forced further downwards providing the extra travel required to rupture the vessel.

10 Clearly many modifications to the above described embodiment are possible. For example the reservoir may be re-useable and need not be rupture after one use although to prevent contamination single use reservoirs are preferred.

Figure 10 illustrates a variant in which the "duck's bum valve" at the base of the reservoir 120 is replaced with a septum 121 disposed below the filter 122. There is also  
15 no finger grip for the reservoir. The secondary filter holder 150, defines an upwardly protruding needle 151, of a length which pierces the septum when the secondary filter assembly is screwed to the base of the reservoir, but not the filter 122.

There may be an array of greater or fewer than four piezoelectric dispensing devices in the apparatus. The use of micro-arrayed solid state piezoelectric ceramic  
20 may permit closely arrayed multiple channels and up to possibly one hundred solution streams.

It will be appreciated by persons skilled in the art that numerous variations and/or modifications may be made to the invention as shown in the specific embodiments without departing from the spirit or scope of the invention as broadly  
25 described. The present embodiments are, therefore, to be considered in all respects as illustrative and not restrictive.

Dated this twenty-eighth day of March 2003

Proteome Systems Intellectual Property Pty  
Ltd  
Patent Attorneys for the Applicant:

F B RICE & CO

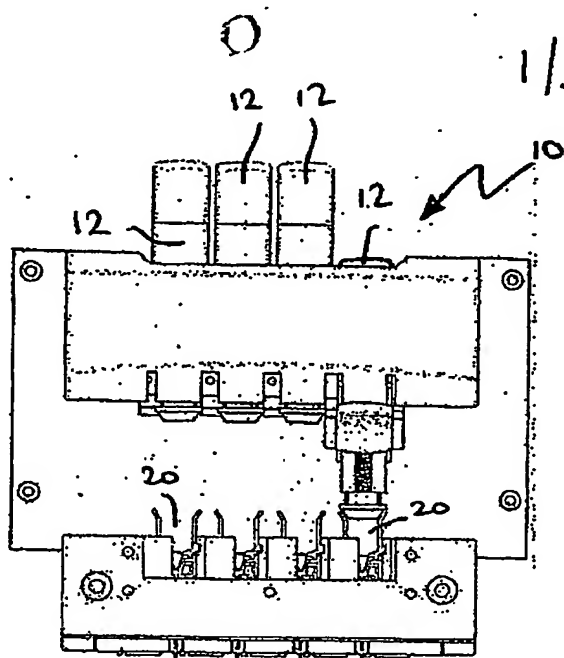


Figure 1 a

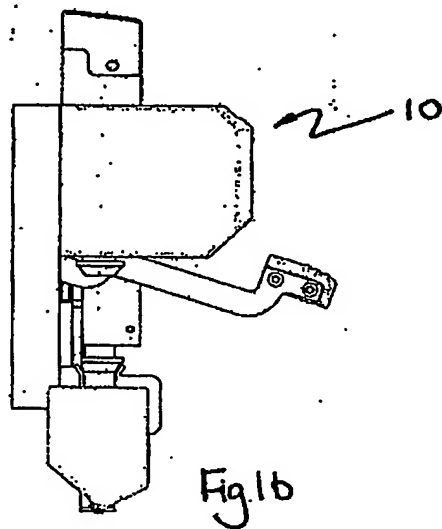


Fig 1b

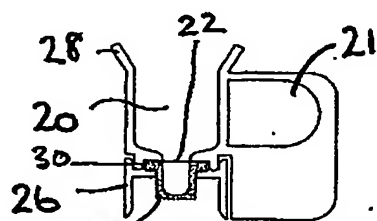


Fig 2a

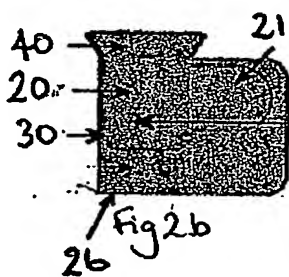


Fig 2b

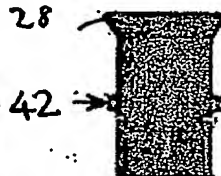


Fig 2c

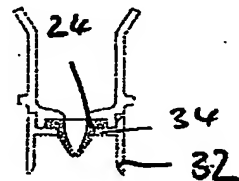


Fig 2d

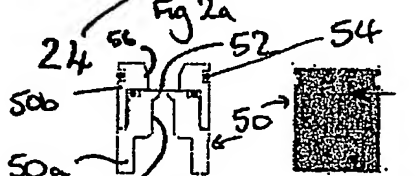


Fig 2e

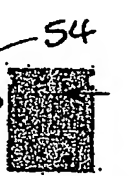
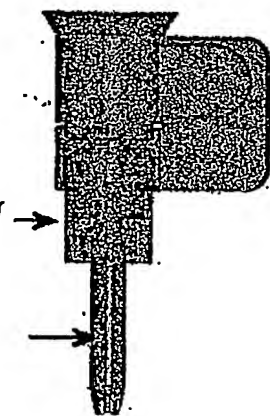


Fig 2f

58



Figs 3a

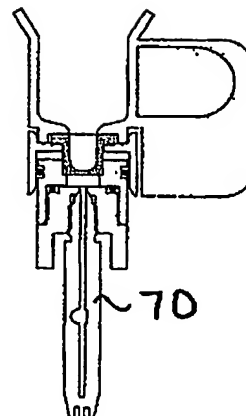


Fig 3b

D

2/5

0

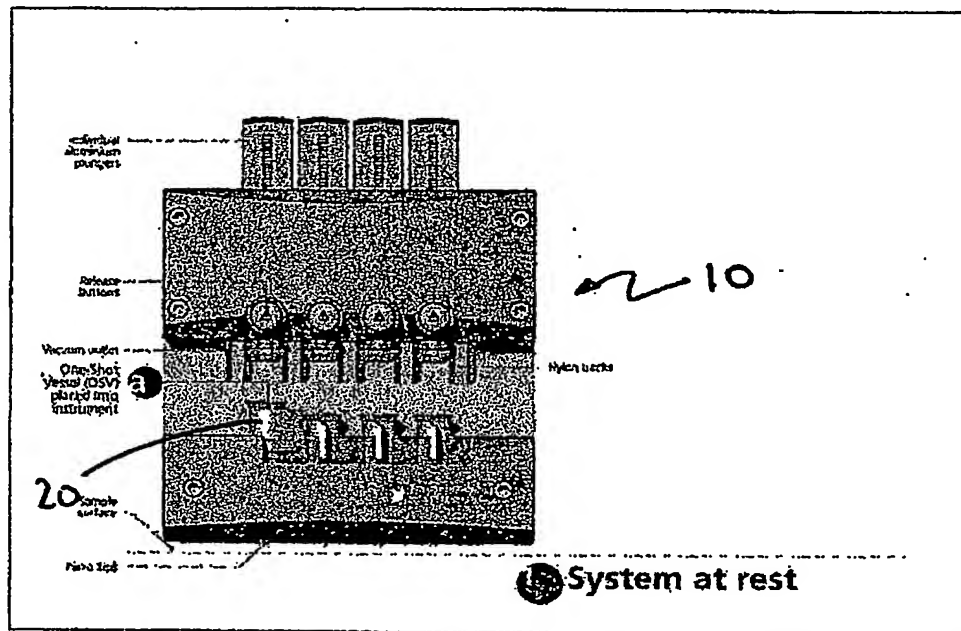


Figure 4 Apparatus for loading and dispensing solutions from piezoelectric devices

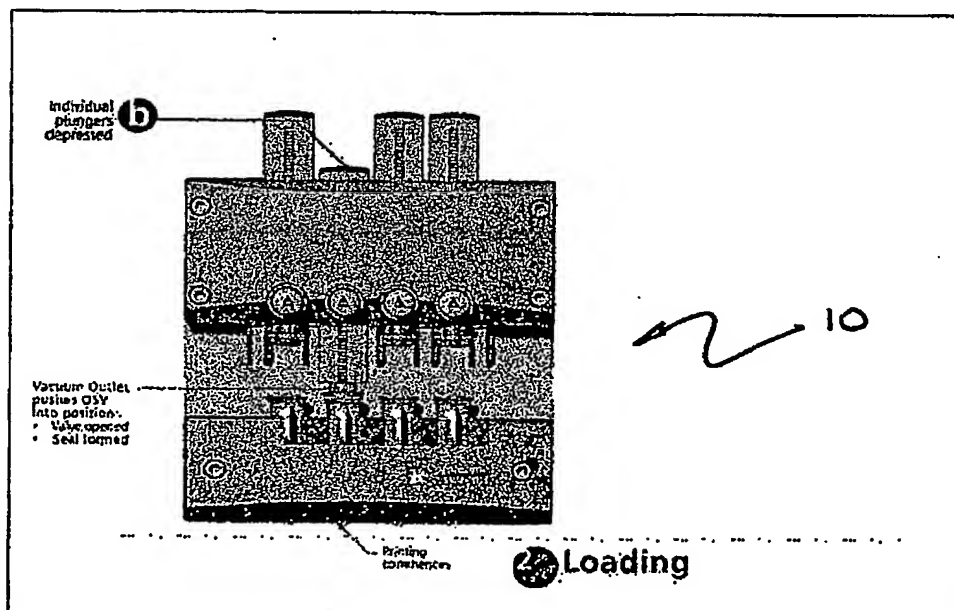


Figure 5 The plunger on the apparatus is lowered to complete loading of the reagent vessel in the apparatus.

3/5

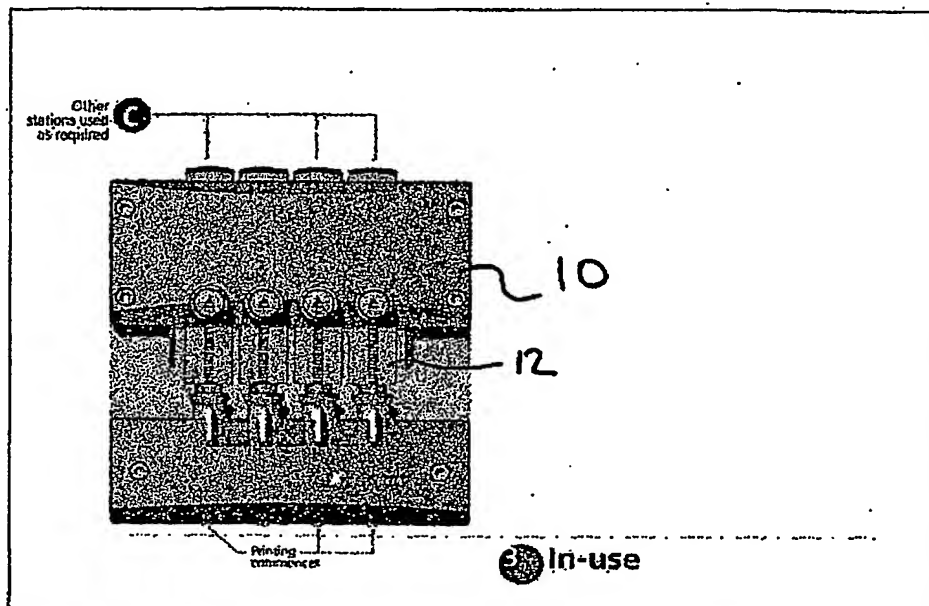


Figure 6 Apparatus fully loaded with 4 reagent vessels and ready for dispensing.

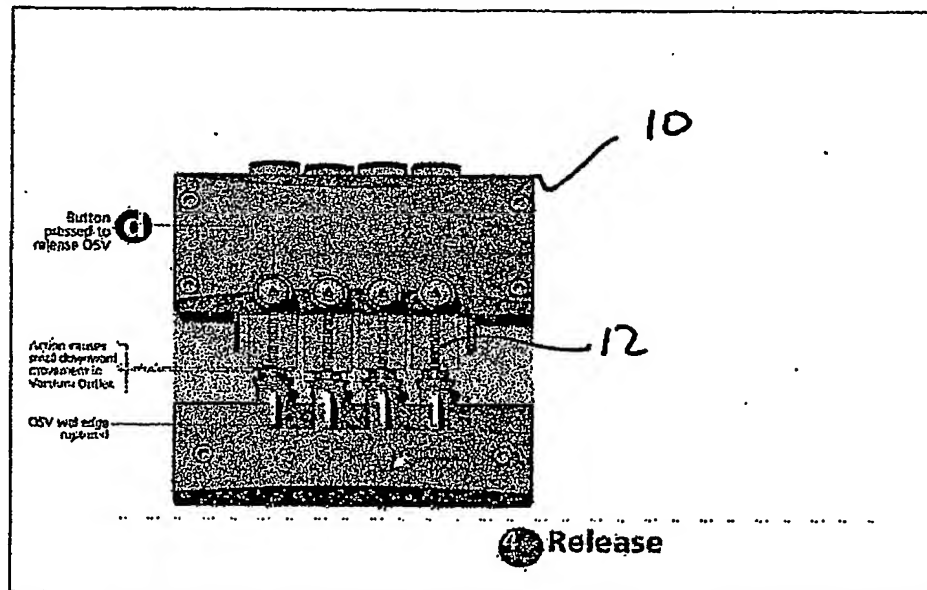


Figure 7 The reaction vessel is released from the apparatus by pressing a button which causes a small downward movement in the plunger.

4/5

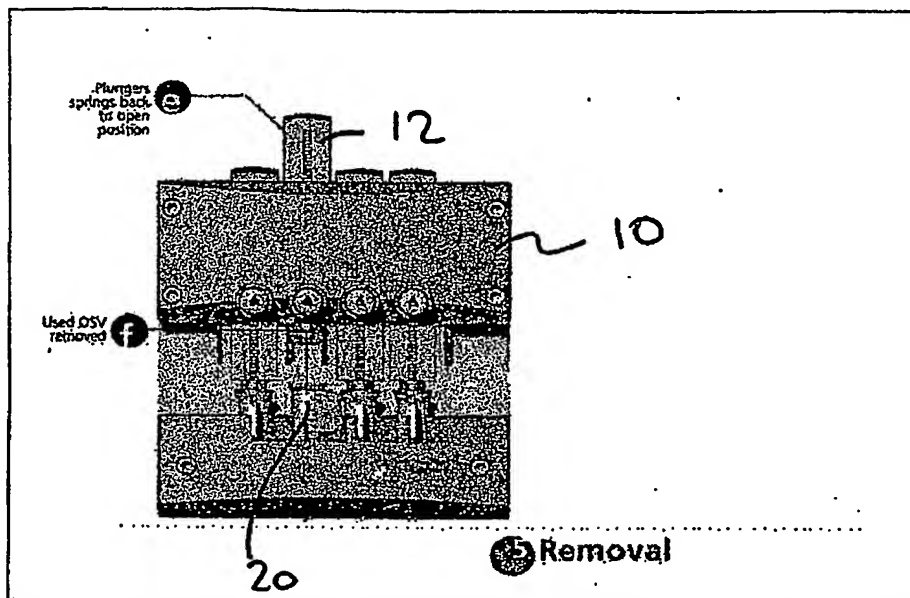


Figure 8 The plunger returns to the top of the apparatus to enable the reaction vessel to be removed.

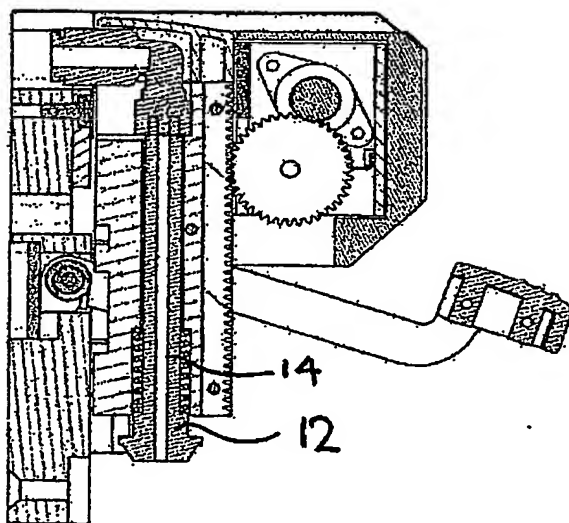


Figure 9 Mechanism controlling the plunger position

5/5

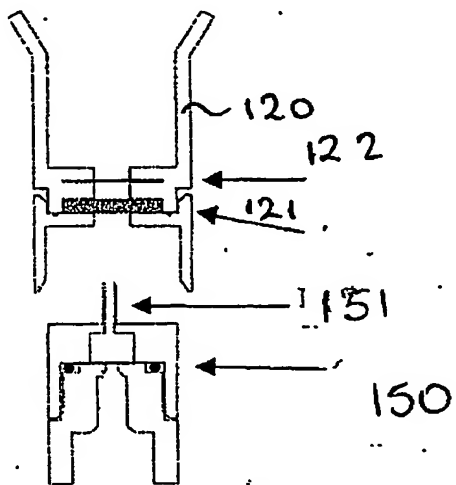


Fig. 10

This Page is inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record

## BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☒ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☐ FADED TEXT OR DRAWING
- ☐ BLURED OR ILLEGIBLE TEXT OR DRAWING
- ☐ SKEWED/SLANTED IMAGES
- ☒ COLORED OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☒ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☐ REPERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning documents *will not* correct images  
problems checked, please do not report the  
problems to the IFW Image Problem Mailbox**